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ABSTRACT

In response to a growing shift from management by activity to results-based management systems, the Association of Canadian Community Colleges (ACCC) undertook a study to identify issues, expected outcomes, and recommended approaches related to the implementation of a results-based system for the Canadian College Partnership Program (CCPP). Data were collected through a review of the literature and focus group sessions conducted with 12 experienced international program managers. A conceptual framework was then developed containing the following eight stages: (1) program planning and approval; (2) program implementation; (3) specific project development; (4) project appraisal and selection; (5) project implementation; (6) project evaluation; (7) overall program evaluation; and (8) program adjustment. The framework also seeks to identify the cause-and-effect links between resources, or program inputs; program reach, or activities undertaken to accomplish the mission; and four categories of developmental results: individual, institutional, client/student, and socio-economic impact. Finally, information generated from this system after completion of the first planning cycle will provide the initial baseline performance measures against which subsequent cycles will be compared. A description on the CCPP's Institutional Development Component is appended. Contains 12 references. (BCY)

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Results-Based Management for Human Resource Development Projects

The Results-Based Management Study Report

The Association of Canadian Community Colleges
International Services Bureau

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March 1996

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Results-Based Management for Human Resource Development Projects

The Results-Based Management Study Report

The Association of Canadian Community Colleges
International Services Bureau

Canadian International Development Agency
Agence canadienne de developpement international

March 1996

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March 1996

If you are thinking a year ahead, sow seed.
If you are thinking ten years ahead, plant a tree.
If you are thinking a hundred years ahead, educate the people.
By planting a tree, you will harvest tenfold.
By educating the people, you will harvest one hundredfold.

- Kuan-tsu

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Abbreviations and Acronyms

ACCC	Association of Canadian Community Colleges
CCPP	Canadian College Partnership Program
CDN	Canadian
CIDA	Canadian International Development Agency
CPB	Canadian Partnership Branch (CIDA)
FCIC	Fund for Collegiate Institutional Cooperation
ICDS	Institutional Cooperation and Development Services (CIDA)
IPAC	International Program Advisory Committee
ISB	International Services Bureau
LFA	Logical Framework Analysis
MBO	Management By Objectives
ODA	Official Development Assistance
PMBA	Project Management By Activity
PPBS	Project Planning and Budgeting System
RBM	Results-Based Management
RFP	Request For Proposals

Definition of Terms

Developmental Result:	An actual change in the state of human development.
Effectiveness:	The correlation between the developmental results achieved and the established project objectives, norms or standards.
Efficiency:	The correlation between all developmental results achieved and the total resources invested.
Impact:	A long-term developmental result that is the logical consequence of the achievement of all project outputs and outcomes.
Inputs:	The human, organizational and physical resources contributed directly or indirectly by the stakeholders of a project.
Operational Result:	The administrative or management product of an agency or its projects.
Outcome:	A medium-term developmental result that is the logical consequence of the achievement of a combination of outputs.
Output:	A short-term developmental result that is the logical consequence of project activities.
Performance Assessment:	A combination of effectiveness and efficiency measures that permit the evaluation of progress made toward the achievement of results.
Performance Chain:	A progression of operational and developmental result linked to each other by virtue of their cause effect relationships.
Project Activities:	The coordination, technical assistance and training tasks organized and executed by project personnel.
Result:	The actual consequence of a cause effect relationship.
Results Chain:	A progression of developmental results linked to each other by virtue of their cause effect relationships.
Sustainability:	The capacity to maintain or reproduce developmental results for an extended period of time after the termination of the supply of external resources.

Acknowledgements

The Association of Canadian Community Colleges wishes to express its appreciation to all organizations and individuals who have contributed their time and effort to make this study successful.

The study was lead by Werner Meier, Manager of Research and Training who was responsible for the research and report writing under the direction of the International Services Bureau Vice-President. He benefited from the support and counsel of Algonquin College and Young & Wiltshire Management Consultants.

This report is the product of extensive collaboration with elected College representatives to the International Program Advisory Committee. Valuable contributions were received from Elizabeth Bisson, Jules Carier, Gilles Dubé, Ray Kavanagh, Elaine McNeil, Charles Mossop, Ken Ohashi, Roger Pearson, Bonnie Bachorcik Proven, Reg Radke, Diane Scott and Dr. Robert Turner. The success of the study is greatly attributed to their overall guidance on the study process and analysis of results.

Finally, this study would not have been possible without the financial support and participation of the Canadian International Development Agency and its staff who took the time to talk with the researchers and study participants on various aspects of Canadian Official Development Assistance and the need to focus on the achievement of results.

Abstract

Project management by activity (PMBA) has been a popular approach utilized by many development agencies in the past, however, the limitations inherent in its focus on the control and management of activities to the exclusion of results is now evident. A shift towards results-based management (RBM) is now being undertaken by several donor agencies and development assistance organizations in Canada and abroad. Agencies such as the Canadian International Development Agency (CIDA) are in the process of examining various models of results- and performance-based management systems.

The Association of Canadian Community Colleges (ACCC) has been asked to use a RBM approach in its administration of the CIDA-funded Canadian College Partnership Program (CCPP). An implementation study was undertaken to identify the expected results congruous with the stated CCPP goal and objectives. The study utilized a focus group methodology with membership representation by experienced international program managers. The findings and conclusions of the study are expected to have a pervasive effect on the future management and evaluation of projects funded through the Canadian College Partnership Program.

1.0 Introduction

1.1 Background and Rationale

Several donor agencies and development assistance organizations in Canada and abroad are now shifting their focus from management by activity to results-based management. This trend has evolved from a growing recognition that the international development context is highly complex and constantly changing in accordance with the prevalent economic, ecological and political conditions of developed and developing countries alike. It has also emerged in response to increasing pressure to demonstrate the efficient and effective use of public resources in the complex, uncertain and rapidly changing development environment. The Canadian International Development Agency is in the process of examining various models of results- and performance-based management systems. The present Results-Based Management (RBM) Study was undertaken by ACCC and supported by the CIDA-funded Canadian College Partnership Program (CCPP).

ACCC has been committed to a strategic planning and management process since the implementation of the Fund for Collegiate Institutional Cooperation (FCIC) program in 1991. The process began with the approval of the ACCC Five-Year Strategy and the International Services Bureau (ISB) Five-Year Planning Framework by the ACCC Board of Directors, and has continued with the development of a series of four Regional and nine Sub-Regional Planning Frameworks. These strategic planning documents have been designed to better focus the efforts of the ACCC Secretariat and Canadian Colleges[1] on the achievement of the Association's mission, goals, and objectives, while taking into account the resources available and the characteristics of the international development context. The use of this type of approach over the past three years has provided an excellent foundation for the introduction of a genuine results-based management approach to international program management.

1.2 Purpose of Study

The purpose of the study was ***to identify expected results which are congruous with the stated CCPP goal and objectives, and achievable within the stated timeframe***. The meaning attributed to "expected results" in this context will include all of the developmental outputs, outcomes and impacts which can be attributed to the CCPP, and exclude any internal process or operational results. This distinction is consistent with the change in focus which results-based management implies: a move away from the control of inputs and activities towards the achievement of developmental results.

The implications for the CCPP of undertaking this study are pervasive. It would be unwise to simply identify expected program results without examining the implications for change in other areas. It will be necessary, for example, to design models and systems to monitor and evaluate progress toward the achievement of results and to eventually identify objectively verifiable indicators to measure or predict results. The research conclusions and recommendations may indicate the need to make changes in ACCC operations, re-configure CCPP program components, revise sub-regional planning frameworks or recast the ACCC program and project evaluation policy and systems.

Consequently, a secondary purpose of the study will be ***to recommend an appropriate program evaluation system which will meet the needs of a results-based management approach***. However, development of the evaluation models and instruments, as well as the identification of specific indicators, is not within the scope of this study. Nevertheless, the development of appropriate evaluation models and instruments is currently being undertaken by the ACCC Secretariat.

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[1] Where "College" appears with a capital "C", the term is used to denote community colleges, cégeps, and technical institutes.

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2.0 Research Methodology

2.1 Type of Study

The RBM Study is referred to as an implementation study because of its potential to influence program policy and operational decision-making. In general, the CCPP supports this type of operational research through the Program Support Framework Component in order to fuel thought and action on the design of more efficient and effective program and project implementation models. The study has been undertaken by a research team experienced in the field of program planning and evaluation. A focus group approach was used to tap the opinions of, and get feedback from, ACCC's key stakeholders - the College membership. This study represents a new initiative for ACCC in the area of research-based international program support services.

2.2 Literature Review

A key discussion paper on results-based management was prepared by Sigma VI (1994) for the development supply community. It indicated that, within CIDA, results-based management concepts were being operationalized in different ways. Consequently, the research team obtained and analyzed a variety of CIDA documents that were helpful in clarifying the meaning and concepts involved in the implementation of a results-based management approach. In addition, a number of published and unpublished documents, prepared by other government departments and international consultants, also proved to be most useful.

Although these documents are not individually referenced in this report, the research team would like to acknowledge the contribution that the authors have made to furthering our understanding of results-based management. A bibliography of pertinent documents and articles is attached to this report for future reference.

2.3 Information Gathering

The RBM Study involved *qualitative* research in that it relied on the collection of information, opinion and commentary from a small, but representative sample of experienced College international program managers. Twelve of the elected members of ACCC's International Program Advisory Committee (IPAC) were invited to participate in the focus group sessions and provide feedback through e-mail communications. The information gathered from these focus group sessions and other communications was used to orient and direct the work of the research team.

Four focus group sessions were held from January to August 1995. Over one hundred pages of transcripts were recorded and analysed by the research team and expected results were identified for the CCPP Institutional Development Component for all three project levels. Research study participants provided feedback on the identified expected results subsequent to each focus group session. The focus group sessions were the primary source of information, and participant feedback served as a reality check for the research team's analysis of the data and further development of the conceptual framework. Additional input from developing country partners was gathered over the course of the 1995-96 fiscal year.

2.4 Developing a Conceptual Framework

It was important to identify a conceptual framework within which the results-based management approach could be applied. The research team examined various methods and models from the literature review and developed a conceptual framework which appeared to suit human resource development programs with an institutional development component like the Canadian College Partnership Program (CCPP).

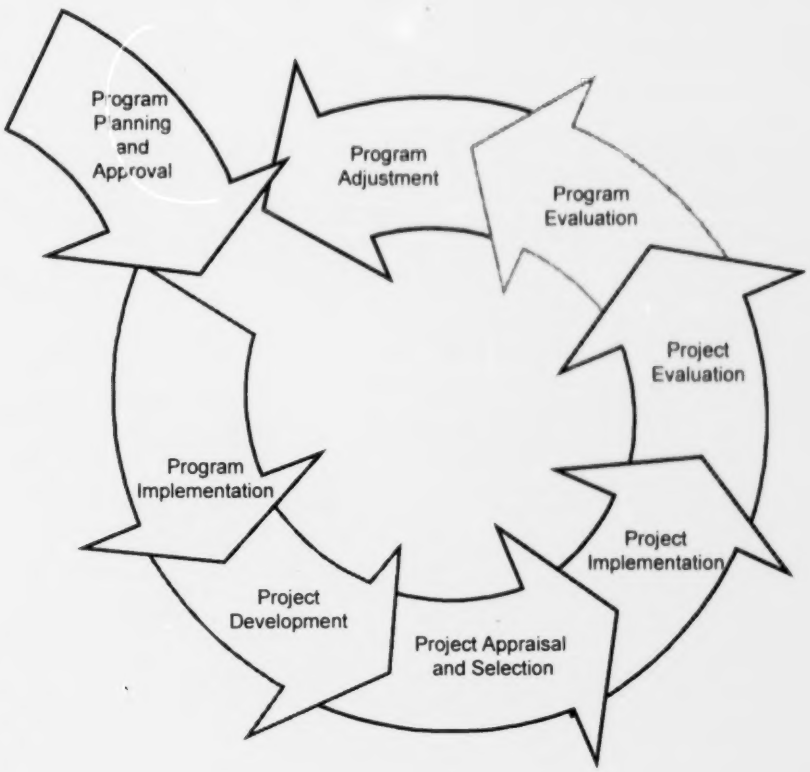
The conceptual framework was used on two occasions to jointly design human resource and institutional development projects with developing country partners in Tunisia and Botswana. The practical application of the conceptual framework by the participants in these activities has validated, to a certain extent, its ease of use and utility for project design. Further piloting and experimentation in project management within this framework will take more time than this research study allows.

This conceptual framework was presented to the research study participants and several modifications were made to ensure group agreement on the structure and operational definitions that it included. An important component of the conceptual framework is a performance chain of inputs, activities, and four categories of results. The latter represent a results chain that generally corresponds to the output, outcomes and impact levels as defined by CIDA. This performance chain is presented and situated in a systems approach to results-based program management.

3.0 A Systems Approach to Program Management

The CCPP is composed of several components and project levels. Consequently, results-based management had to be examined in the context of a systems approach to program management. The simplified version of a program management system for the CCPP (as illustrated in Figure 1) was initially adopted by the research team and then each phase elaborated upon. The conceptual framework for results-based program management constitutes the detailed version of this systems approach.

Figure 1: A Systems Approach to Program Management for Results



The basic systems approach to program management commences with **Program Planning and Approval**. This stage of the system is related to the actual goals and objectives of the Canadian Partnership Branch (CPB) and the goals and objectives of the CCPP. Since these goals and objectives are complementary, they provide a basic policy framework for program management.

The second stage in the systems approach is **Program Implementation,** which involves making decisions with regard to the design of the program and its components, defining different levels and types of projects, and establishing implementation schedules, etc.

The third stage, **Project Development,** involves the development of projects which meet the criteria of each of the components of the program.

The fourth stage, **Project Appraisal and Selection,** involves the selection of projects which meet the criteria and the strategic objectives decided upon in the Program Planning and Approval stage.

The fifth stage, **Project Implementation,** involves the start-up and implementation of project activities and generally receives the most attention, resources and effort.

The sixth stage, **Project Evaluation,** requires the systematic assessment of project performance.

The seventh stage, **Program Evaluation,** accumulates project evaluation information and aggregates it at the program level.

The final stage, **Program Adjustment,** ties the whole system together. Adjusting the program on the basis of project and program evaluations should have an impact on the activities undertaken in the program implementation, new project development, and project implementation stages.

The intent of this type of systems approach to program management is to enhance the achievement of expected results after successive adjustments to the system. This may, however, take a long time depending on the duration of each complete cycle in the system. It will also require a longer term commitment to the development process at both the program and project level than has traditionally been the case.

4.0 The Conceptual Framework

The conceptual framework of the RBM Study uses the systems approach to results-based program management and adopts and adapts it to the CCPP cycle. Each stage in the systems approach is elaborated on by providing detailed information pertinent to CCPP administration.

4.1 Program Planning and Approval

The Institutional Cooperation and Development Services division (ICDS) of CIDA's Canadian Partnership Branch (CPB) has undertaken a strategic planning exercise based on results, and in so doing has drafted ten divisional objectives to be achieved within a five-year period. Of the ten objectives, six focus on the improvement of operational processes. The remainder reflect developmental objectives with an overriding focus on building capacity in developing countries. The overall capacity building objective is supported by three other objectives: development education, benefits to Canada, and leverage (see Figure 2).

Figure 2: Canadian Partnership Branch (CPB) Objectives

Capacity Building in Developing Countries
Through Canadian partners, support and strengthen organizations, public and private institutions, enterprises and other elements of civil society whose efforts can be shown to have a positive impact on CIDA priorities.

Development Education
To increase awareness, knowledge and understanding by Canadians of development issues and the roles Canadians can play in promoting sustainable global development, and to mobilize the energy, knowledge, skills, and financial and materials resources of Canadians and their institutions.

Benefits to Canada
To encourage the acquisition of knowledge and increased involvement and the internatonalization of Canadians and their institutions and promoting where appropriate, the mutually-beneficial transfer of Canadian expertise, technology, goods and investments by Canadian corporations/institutions and other services.

Leverage
To maximize the impact of each investment by encouraging Canadian partners to increase the amount of support elicited from all sources and to increase the developmental impact of their activities.

These developmental objectives provide the CIDA policy framework within which the CCPP must operate. ACCC had to ensure that the CCPP was planned in such a manner that it would achieve certain developmental results consistent with these objectives. Consequently, the first CPB objective is very similar to the goal statement of the CCPP which focuses on capacity building in developing countries. The second CPB objective relates to the transversal theme of community awareness present in the CCPP, while the third is similar to the CCPP objective related to the internationalization of Colleges. The fourth objective addresses the concept of cost-sharing and support for Canadian commercial trade interests.

As we can see in Figure 3, the CCPP objectives correspond well to the four objectives of CIDA's Canadian Partnership Branch. The CCPP proposal, including these goals and objectives, was approved by the Treasury Board of Canada when it ratified the CCPP Contribution Agreement in September 1994. Therefore, ACCC cannot change them without first obtaining approval from the Treasury Board.

Figure 3: Canadian College Partnership Program (CCPP)

Goal:

To increase the capacity of developing country institutions and their communities to respond to their country's human resource development needs.

Objectives:

1. To foster sustainable partnerships between Canadian Colleges and developing country partners who are jointly engaged in adapting education and training programs to the changing human resource development needs of an interdependent global community.

2. To increase the capacity of developing country partners and Canadian Colleges to engage in policy formulation, strategic planning and management of education systems.

3. To contribute to the internationization of Colleges through the involvement of staff and students in international development activities.

4. To enable Colleges to play a proactive role in increasing awareness, understanding, and support for international development within Colleges and their wider communities.

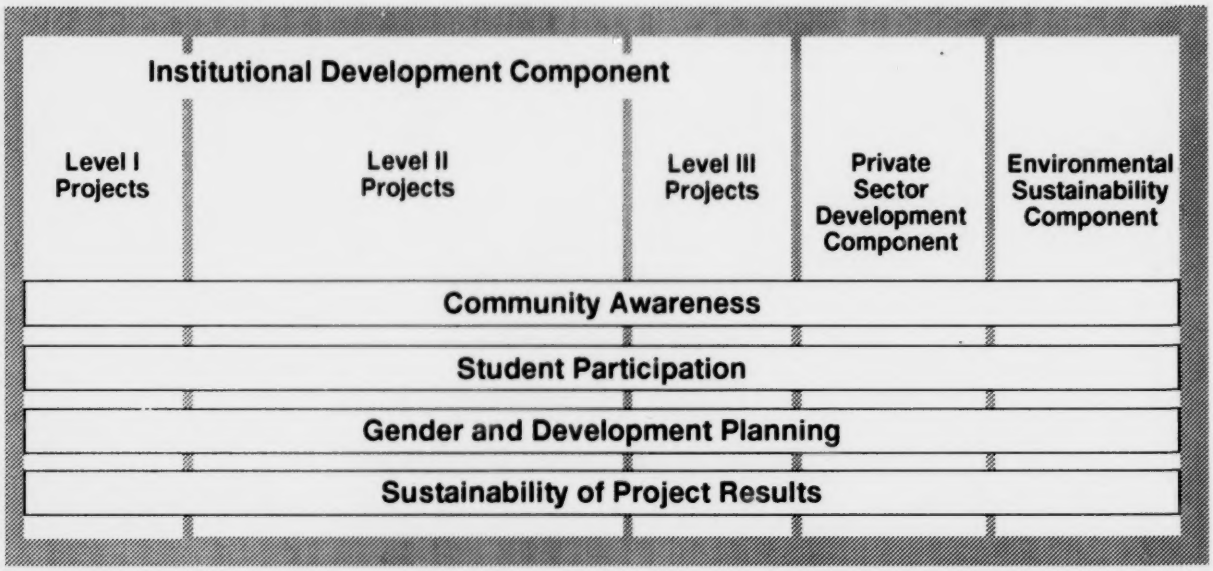
5. To leverage Canadian private sector technology transfer to developing countries with enhanced education and training services designed to support and sustain the use of that techology.

6. To support developing country partner initiatives which foster environmental sustainability.

4.2 Program Implementation

The CCPP is currently implementing Institutional Development Component Level I, Level II and Level III projects (see Figure 4). The Private Sector Development Component and the Environmental Sustainability Component are presently suspended due to budget cuts and may come on stream at a later date.

Figure 4: CCPP Program Implementation

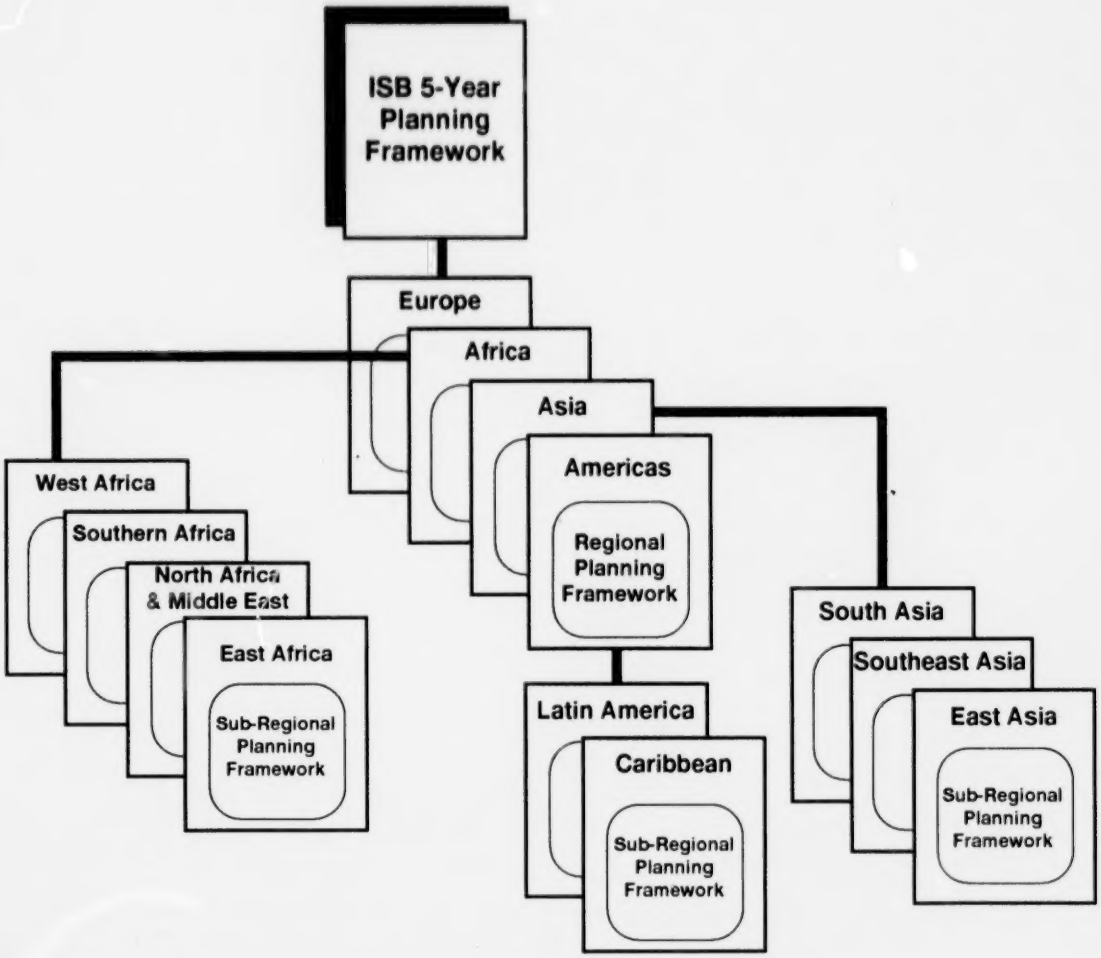


Certain themes cut transversally across all of the components of the CCPP: community awareness; student participation; gender and development planning; and sustainability of project results. While one might expect to see environmental sustainability as a thematic priority, in this case, it is considered instead as one of the five pillars of sustainability - along with social, cultural,economic and political- and as such is not specifically cited as a transversal theme, but is nevertheless a fundamental consideration for all CCPP projects. Sustainable project results focus attention on the need to foster a self-reliant development process. CCPP projects must enable people and institutions in developing countries to continue to generate enduring benefits after the termination of project funding.

4.3 Project Development and Appraisal

ACCC is in the early phases of implementing the CCPP, however many Colleges are developing projects while the entire CCPP canvas is still unfolding. The ACCC strategic planning documents, in the form of regional and sub-regional planning frameworks (see Figure 5), provide these Colleges with a basis upon which to plan new project development. These documents are extremely useful in that they describe the sectors, countries, and the desired activities consistent with the CCPP goal and objectives as well as the those of the Association in general. As these planning frameworks are used and refined they will include more specific operating objectives and results to be achieved. A greater concentration of CCPP project activity in targeted countries and sectors should facilitate collaboration between and among Colleges and their developing country partners. In this way, the potential for achieving developmental results at the community, national or regional levels should be enhanced.

Figure 5: Strategic Planning Frameworks

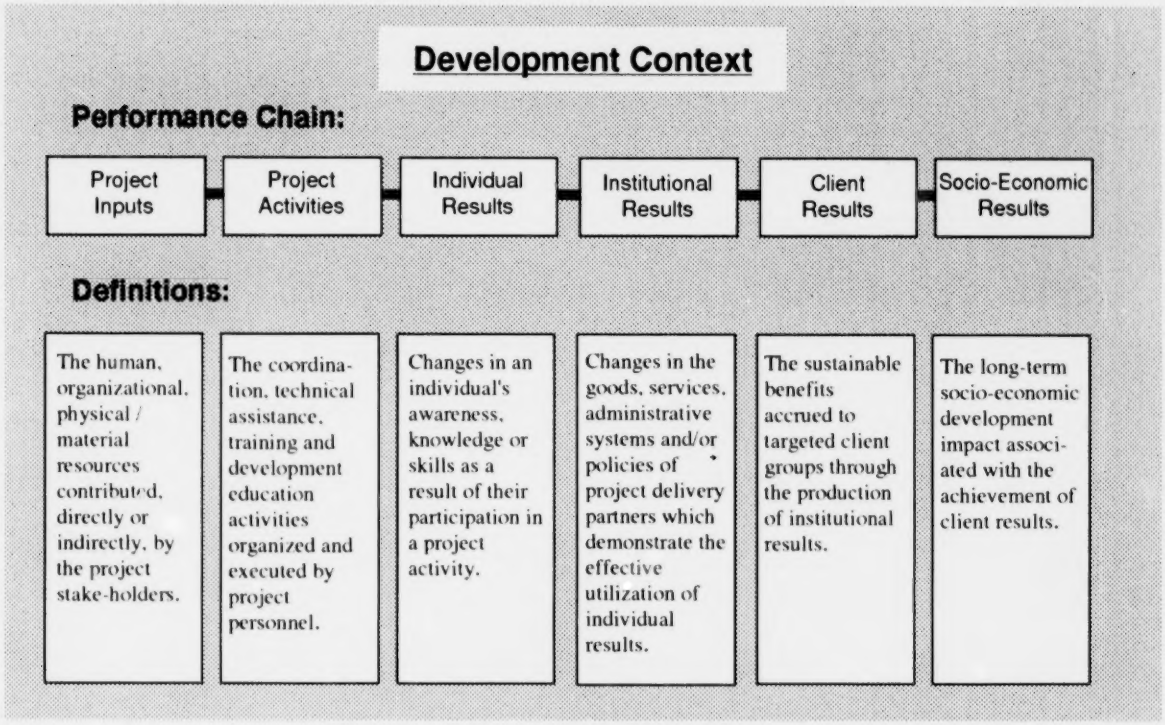


The ACCC Project Review Committee is currently using these planning frameworks as filters for project appraisal and selection to ensure that potential projects fit with the strategic orientation of the Association, and in turn, with the strategic orientation of the CCPP. This process permits ACCC to target its efforts and re-orient its program resources in the most strategic directions possible.

4.4 Project Implementation

The results-based project management framework attempts to redefine the traditional development paradigm. The Logical Framework Analysis (LFA) is no longer an adequate instrument for development planning and management. Some would even argue that it never was fully adaptable to the latest generation of human resource development projects. The project management framework proposed here is not an attempt to reinvent the LFA, but rather to reduce the inherent complexity of development work to a few basic concepts and cause-effect relationships.

Figure 6: Results-Based Project Management Performance Chain

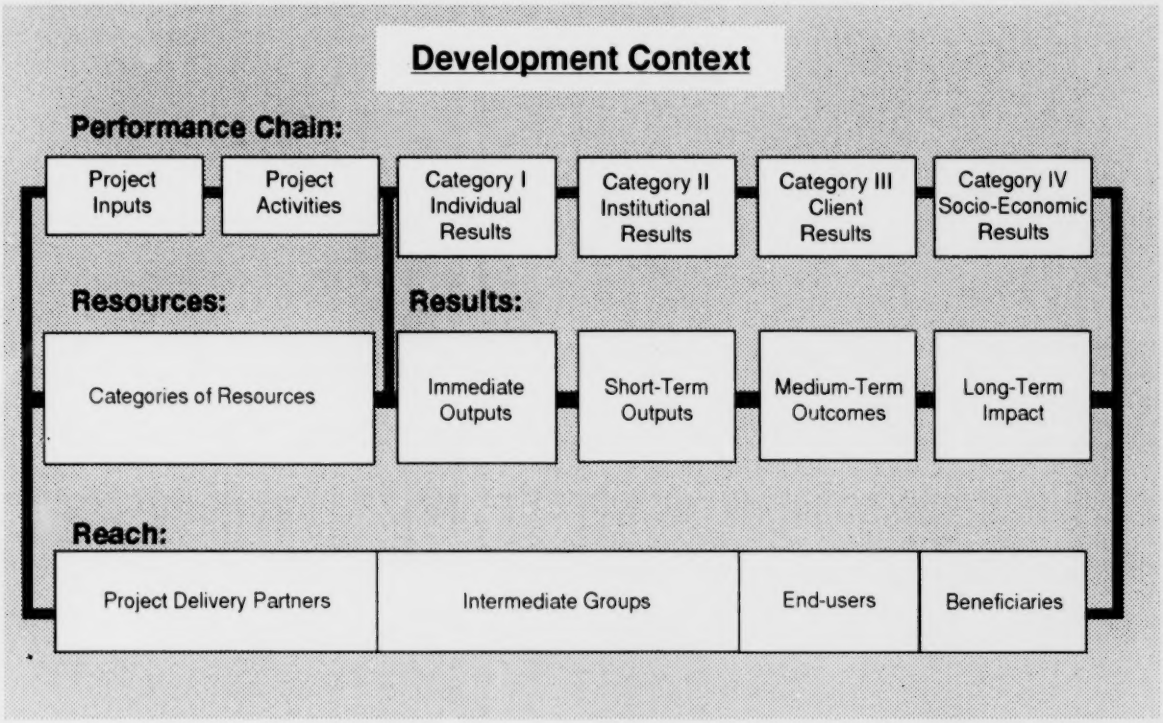

Development Context
Performance Chain:
Project Inputs
Project Activities
Individual Results
Institutional Results
Client Results
Socio-Economic Results
Definitions:
The human, organizational, physical / material resources contributed, directly or indirectly, by the project stake-holders.
The coordination, technical assistance, training and development education activities organized and executed by project personnel.
Changes in an individual's awareness, knowledge or skills as a result of their participation in a project activity.
Changes in the goods, services, administrative systems and/or policies of project delivery partners which demonstrate the effective utilization of individual results.
The sustainable benefits accrued to targeted client groups through the production of institutional results.
The long-term socio-economic development impact associated with the achievement of client results.

Let's look at the RBM performance chain presented in Figure 6. Similar to other performance chains, it reflects the linear thinking of western culture by linking a series of cause-effects relationships. Each link in the performance chain has both a cause and effect. For example, inputs (cause) generate activities (effect/ cause) which in turn produce individual results (effect). In the same way, individual results could cause the occurrence of institutional results and so forth. The ability to predict and eventually measure the depth of change derived from these cause-effect relationships diminishes as one moves down the performance chain. The links in the performance chain are identified as inputs, activities and four categories of results for which operational definitions have been provided.

The concept of inputs is fairly common and still serves a useful purpose in this framework. The definition is standard but also includes "organizational resources." For example, when a system is designed for another purpose and then used within the context of a project, it becomes a resource, even though it falls outside the traditional domains of human and physical resource categories. Money has often been included as an input, but here we define money principally as a measurement indicator of other resource types.

While project management by activity (PMBA) has been a popular approach with many development agencies, the limitations inherent in its focus on the control and management of activities to the exclusion of results, has now become evident. You will note in Figure 7 that a clear distinction has been made in this performance chain between the production of activities and output level results. Project activities are defined as the coordination, technical assistance, or training activities executed by the people who are implementing the project. These types of activities may generate internal process or operational results, but do not generally constitute developmental results.

Figure 7: Results-Based Management Framework



All results categories in the Performance Chain of the framework share a common characteristic in that they all represent change in some way. Most human resource development and institutional strengthening projects induce or support a process of change which has been agreed to in advance by the project delivery partners. For example, in the **Category I - Individual Results**, change resides with individuals in terms of increased awareness, knowledge and skills. In **Category II - Institutional Results**, we extend the premise of Category I to allow for these individuals to effect change within the institutions and organizations in which they work. These institutional results could be formulated as a change in:

- goods and services,
- administrative systems
- policies of the partner institutions or organizations.

Institutional changes or reforms then demonstrate the utilization of the increased awareness, knowledge and skills previously acquired by the individuals who participated in project activities. An underlying assumption here is that **institutional change or reform is brought about by people and supported by people**. This is a basic principle of all human resource projects.

These first two categories of results can be referred to as indirect results or outputs, since they focus on strengthening the institution so that it can better fulfil its mandate and improve the quality of services to its students and other clients.

Category III - Client Results, involves the sustainable benefits accrued to the end-users of the institutional results described in terms of improved quality of student education, increased employability or productivity. These are the direct results or outcomes that determine if the project purpose has been achieved. Although

the cause-effect link may diminish somewhat at this point, depending on the size and scope of a project, sustainability is dependent on the achievement of these results. Certainly, institutional development is not an end in itself. Therefore, at this point we need to be asking ourselves some questions, such as:

- what benefits have accrued to the students of our developing country partners which can be attributed to our program or project?
- what benefits have accrued to the clients of the private sector firms we are working with in our programs and projects?
- are these end-users benefiting from the institutional and organizational changes or reforms identified as institutional results?

Category IV - Socio-Economic Results are long-term results reflecting the project's developmental impact. These are the results that determine if the project goal has been achieved. Although the cause-effect relationship for most projects will be fairly weak between these last two results categories, this type of result is included in the framework because human development at the societal level is the true goal of all international development assistance programming. Whether the socio-economic impact of a program or project can be demonstrated or not will be dependent on case specific circumstances.

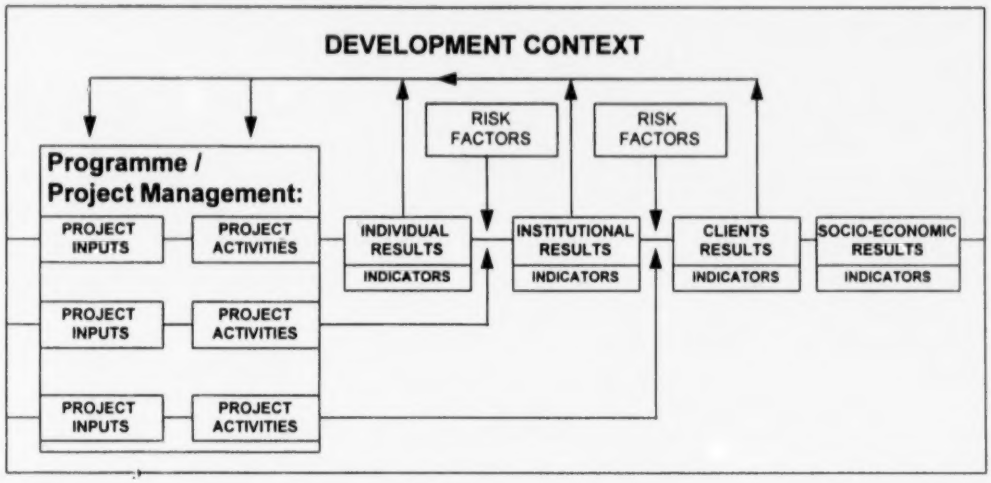
It is worth noting that these result categories all have three dimensions in common. There is a *reach* dimension to these result categories which represents individuals, institutions/organizations, students/clients (end-users) and society. There is also a *temporal* dimension to the achievement of these results in the immediate, short-term, medium-term and distant future. Most important is the depth of change dimension which is captured by the concepts of learning, utilisation of learning, sustainable benefits and socio-economic impact. These three dimensions, when combined, can help us to define our expected project results. For example, individual learning will take place immediately during and after a project activity, whereas the utilization of that learning will occur in the short-term and be reflected in institutional/organizational changes and reforms. These four categories of results are connected in a cause-effect performance chain which should guide us as we design, manage, implement and evaluate our programs and projects.

4.5 Risk Factors

It is a well accepted fact that all projects are managed in an ever-changing, even volatile, development context. The context may have a tremendous or minimal impact on the way projects are managed, what can and cannot be done, and the developmental results that can be expected. Even though they do not figure explicitly in this results-based framework, we acknowledge the historical importance attributed to critical assumptions, as used in the logical framework analysis. Traditionally, we have assumed that if the critical conditions hold true then the expected cause-effect relationship would hold true. Unfortunately, critical conditions have rarely been analyzed and integrated into project management. A more contemporary approach may be to accept the presence of risk factors in the development context which could jeopardize the integrity of the performance chain and attempt to either bring them within our management control, avoid or compensate for them (see Figure 8).

In a changing development context, these risk factors can manifest themselves in a variety of predictable and unpredictable ways. Project delivery partners should plan specific activities to counteract some of the more predicable risks, while maintaining project implementation flexibility to address those which are inevitably unpredictable. The achievement of developmental results must not be left to chance, consequently development partners must jointly manage the implementation process, with a view to counteracting risk factors in the development context.

Figure 8: Managing Project Implementation

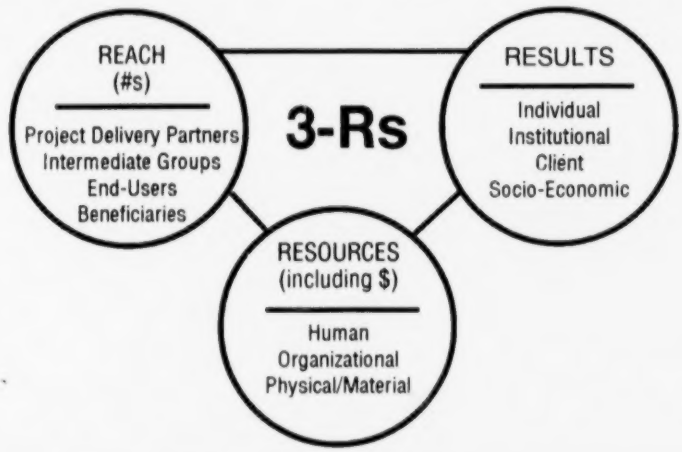


The implication here is that both Colleges and their developing country partners are accountable for the of all developmental results and must be able to manage any risk factors accordingly. Joint project design, implementation and evaluation is critical if the risks of failure are to be minimised. Indicators for determining the sustainability of results should be used in project feasibility assessments and, routinely, in project monitoring and evaluation. In principle, if the expected results identified for contracting purposes are beyond the manageable control of both development partners, the expectations are probably unrealistic and either the project should not be approved or the expected results revised. Once approved, a continuous and evaluation system focused on the achievement of results will substantially reduce the risks of project failure.

4.6 Project Monitoring and Evaluation

Project evaluation has, in the past, concentrated on measuring the type, quality and quantity of inputs delivered and the efficiency of the project delivery process. A measurement of performance to plan has been the basis for payment and principal measure for determining project success. In terms of project management, the focus has been on the delivery of resources, e.g. inputs and activities, but this has changed and will continue to change with the introduction of results-based management and contracting. The 3-R's - resources, reach, and results - represent a useful model for a new approach to project evaluation

Figure 9: The 3-Rs



Resources are traditionally known as inputs, such as human resources, organizational resources and physical resources. Project resources, although they have both qualitative and quantitative characteristics, lend themselves well to quantitative measures, especially when a dollar value can be assigned to them.

Reach is not a new concept either, since we often ask ourselves the question, "who are our clients?" This question is often more difficult to answer than it first appears. We normally work with different reach categories or target groups for different purposes as depicted in Figure 7. For example, we work with developing country institutions (*project delivery partners*) in the delivery of training activities for their teaching staff (*intermediate groups*) in order to better serve thier students (*end users*), who will in turn become more productive and responsible citizens of their communities (*beneficiaries*). The reach concept recognizes the instrumental role of each target group for the achievement of each successive set of results. However, it is the end-user of an institution's goods and services that is ultimately the "client" of our hypothetical development project. An analysis of "reach" will sharpen the focus on results in both project design and evaluation. Fortunately, reach lends itself well to quantitative measures.

Results is the third R that has been in the spotlight lately as we try to better measure the developmental impact of our projects. In the human resource development sector, an analysis of results will be predominantly qualitative in nature, although some quantitative measures unrelated to resources and reach are possible.

The 3-Rs are in a synergistic relationship where the qualities of one will affect the others. As such, an analysis of one R in isolation from the others would be meaningless. Measuring the resources invested in a project is important, but not to the exclusion of the project's reach or results. There is a reach dimension in each link of the performance chain. Generally, a positive correlation exists between the quantity of project resources available and the extent of the project reach. Exceptions are noted where cost reduction technologies, such as distance education, community radio, etc. are used. The capacity of a project to reach a targeted group can, in many ways, affect the achievement of results. The quality of developmental results should be considered in relation to the extent of the reach and the amount of the resources invested in the project. An appropriate balance between the resources invested, the proportion of the targeted population reached, and the quality of the results achieved, indicates the potential for project success.

The concept of *critical* mass also merits closer examination as it relates to *reach*. For example, if assistance to an institution takes the form of developing a new administrative process, management technique or educational technology, to what extent is it affecting the critical mass of people in the institution who will have to work with this new process, technique, or technology? What proportion of the reach category is the project affecting? If it affects only a small fraction of the total, there is a risk that competing influences will dominate and the institutional changes may not be achieved to the degree which could have been realized if critical mass had been favourable.

Although the results-based project management framework may at first appear to be static, because of the linear illustration of the performance chain, it is actually a dynamic system. If information is gathered on a continuous basis with respect to the 3-R's, then the project delivery partners will be better positioned to monitor project performance. Adjustments to the project implementation process can be made on the basis of this continuous flow of information on resources, reach and results.

Performance indicators will play an important role in this process and will have to be selected and used to collect this information. The indicators chosen must be representative of the result they are intended to measure. They should be simple to use, cost-effective to apply, and robust over time. Both qualitative and quantitative indicators can be used to measure results. The success of the results-based management approach depends to a great extent on the utilization of good indicators. The World Bank has developed a

comprehensive set of time series indicators for the education sector that will be invaluable to project managers.

Indicators of the sustainability of results are also an essential ingredient in a results-based management approach. Such indicators might include:

- the degree of partnership in project design, implementation and evaluation;
- the absorptive capacity of developing country partners;
- the allocation of sufficient budgets to cover newly created recurrent costs;
- the depth of change experienced to date at the individual and institutional levels.

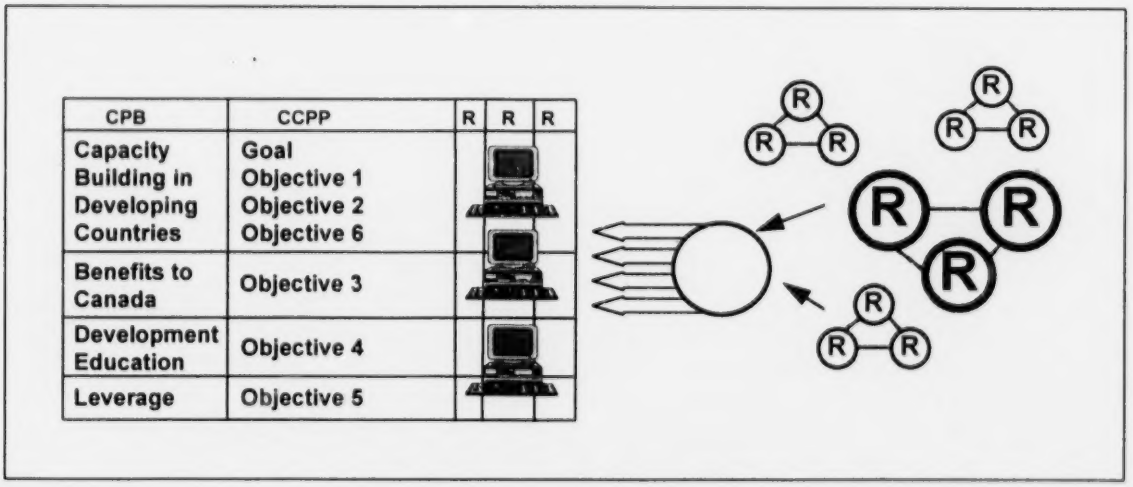
These indicators can be used as part of a continuous evaluation system or in formative evaluation models. In either case, they will provide early warning signals to assist managers in identifying problems and take appropriate action before the sustainability of project results are jeopardized.

The project monitoring and evaluation approach described above implies a need for enhanced project management autonomy and a corresponding reduction in the use of administrative control mechanisms. Hands-on, micro-management by funding agencies would be counter-productive. Colleges and their developing country partners should expect the freedom to manage in an iterative fashion with little, if any, interference, in exchange for explicit and concise reporting on progress made towards the achievement of development results.

4.7 Program Evaluation

Any program evaluation model must measure developmental results against the stated program goal and objectives. In this regard, we have seen how the four CPB objectives of capacity building, development education, benefits to Canada, and leverage correspond with the CCPP goal and objectives. We must be in a position to describe the particular set of resources, reach and results which correspond to each of the CCPP objectives. This will enable us to inform CIDA, at any given time, on the performance of the CCPP in terms of its four objectives.

Figure 10: Program Evaluation



When measuring the benefits to Canada, we should be able to determine how many Canadian students were involved in the program, the total cost of the student participation component for all projects, and the developmental results achieved. The same should also be possible for the development education objective by recording:

- the number of community members who received information about College projects, either in person or through other media;
- the total cost of all community awareness activities; and
- the developmental results achieved.

Collecting standard units of information on the 3-Rs at the project level will be necessary if this information is to be compiled at the program level.

Establishing standard resources, reach and results categories is critical for a cumulative program evaluation process to be possible. Without standardization, it would be impossible to roll up project performance information to the program level. This should not, however, become a process of statistics generation. There are qualitative aspects to each of the 3-Rs which should also be incorporated in the reporting process, but the quantitative elements would have to be considered as the "bottom line" in terms of providing information regarding resources and reach. Results will have to be measured and described using much more qualitative techniques in order to capture their true value. They will, however, be compiled in a results database. Although there will always be differences from project to project, it is important that result categories be standardized. The definition of four categories of results accomplishes this to a certain degree, while the specific results identified within each of these categories further separates and standardizes the categories. The menu of results presented in Tables B, C, D and E (see pg. 20-24) should ensure that a degree of standardization is in place at the project level to support good program evaluation.

4.8 Program Adjustment

The final stage in the systems approach is program adjustment. Information about the 3-Rs is accumulated from individual projects and compiled for program evaluation purposes. Program evaluation should inform management decision-making with regard to possible adjustments at the program level. Another benefit of program evaluation is the ability to assess the effectiveness of strategic planning frameworks. It may be found that in certain regions of the world, with certain institutions, or in certain sectors, we are not obtaining the kind of developmental results which were originally anticipated. Program evaluation will also reveal the need to re-orient the ACCC strategic planning frameworks when the expected results are not produced due to risk factors over which Colleges may have no control. In such cases, it may be better to re-orient the strategic plans rather than try and improve project implementation.

The systems approach to program management, from the program design phase, through to implementation and evaluation, reflects the full cycle from objective to results. During the program design phase, the overall objectives are normally articulated in a goal and purpose statement. During program implementation, resources are invested that produce ideas, strategies, and activities. The results of these investments are reflected in the cumulative outputs, outcomes and impacts of the activities undertaken. Program monitoring and evaluation then employs performance measures to compare the results achieved with the stated program objectives. Unless comprehensive baseline information already exists, the completion of one full cycle of this process will make it be possible to establish performance targets, norms or standards. The information generated at the completion of the first cycle would provide the initial baseline, without which any performance targets would be arbitrary. While remaining consistent with the concept of results-based management, this systems approach to program management reinforces ACCC's capacity to become a learning organization.

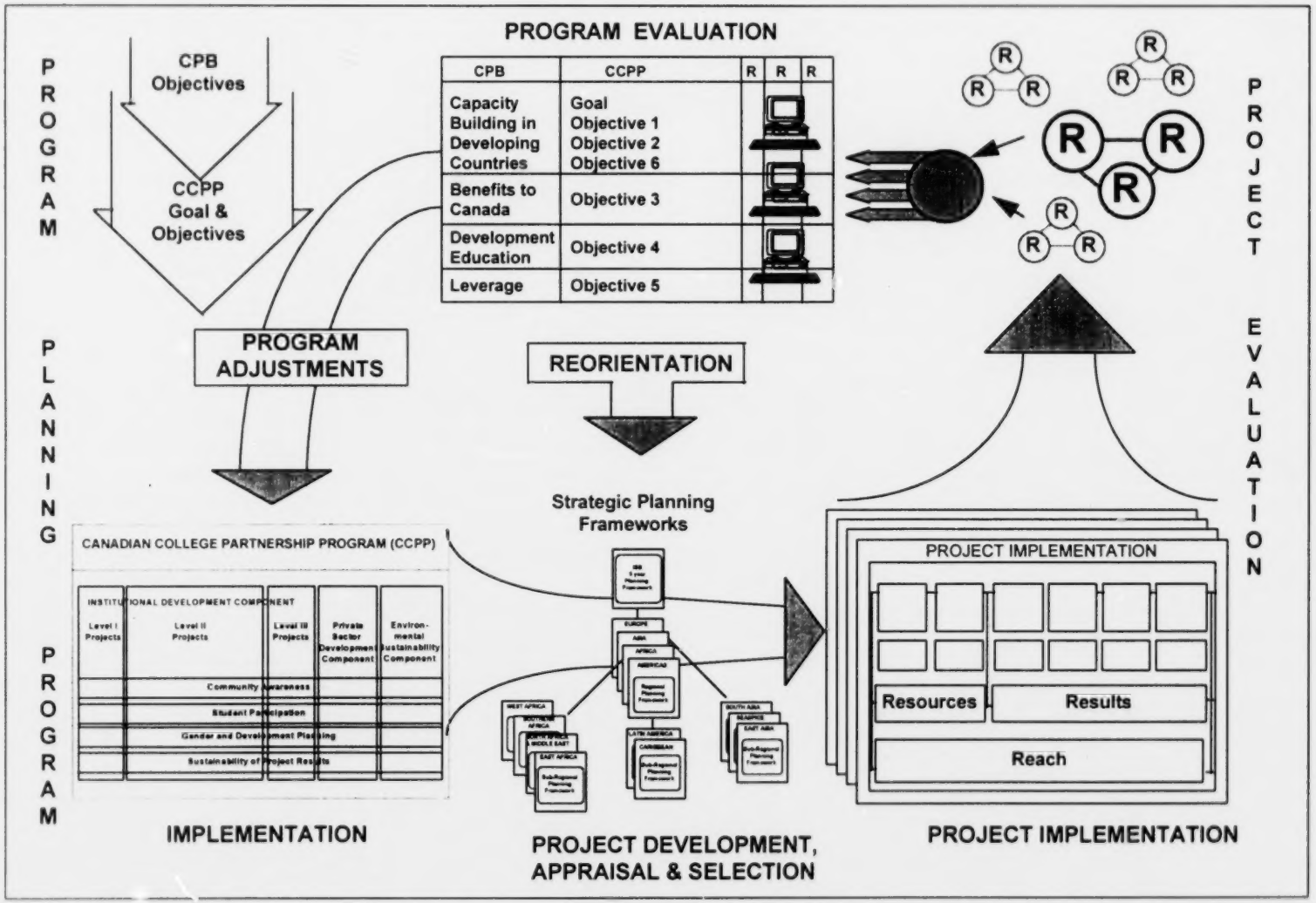


Figure 11: Results-Based Program Management - A Systems Approach

5.0 The 3-Rs of Institutional Development

Keeping the above systems approach in mind, the RBM Study participants applied the 3-Rs concept to each successive project level of the Institutional Development Component of the CCPP (see Figure 4, page 7). To identify a comprehensive list of resources, reach categories and results, it was necessary to have a clear understanding of the purpose, scope and key characteristics of each of the three project levels. A complete description of the Institutional Development Component and Level I, II, and II Projects is provided in Annex I.

Figure 12 (see page 20) illustrates the cause-effect relationships between resources, reach and results. Resources are the combined inputs and activities of a project which are directed at particular target groups. Target groups are identified in the reach column of the results grid. Activities involving these target groups contribute to the generation of the four categories of results.

5.1 Resources

In a results-based management framework, the focus is on the achievement of developmental results as opposed to process or operational results, the latter being characteristic of various total quality management techniques. In the past, the emphasis on controlling the quality of inputs, scheduling of activities and production of reports did not produce the developmental results expected. If it had, there would not have been a perceived need for a new management approach. The RBM approach adopted here reflects this shift in focus, from reporting on the utilization of resources and organization of activities to the monitoring of and reporting on developmental results. Consequently, the ACCC Secretariat will no longer require comprehensive planning and reporting on the basis of inputs and activities for CCPP projects.

This shift does not imply that Colleges should cease to monitor the quantity and quality of the resources invested in projects. To facilitate the iterative management process, this should become a shared responsibility between Colleges and their developing country partners. Verifying the quantity and quality of project resources should be undertaken at the discretion of the project delivery partners, in a manner which is mutually agreeable. In this way, the partners will be better positioned to learn from the monitoring systems which they establish themselves. However, the ACCC Secretariat must, for obvious reasons, continue to monitor the value of the total resources invested in the project. Such monitoring will be done through the reporting of auditable financial statements on the CCPP financial contribution and any in-kind contributions made by the project delivery partners. From the ACCC Secretariat perspective, this is a bottom-line approach to monitoring the delivery of resources.

Table A (page 21) identifies three typical resource categories: human, organizational and physical, which are all instrumental to successful project implementation. These resource categories are defined and indicators have been identified to facilitate the self-monitoring by Colleges and their partners.

5.2 Reach

Five target groups were identified as constituting the reach category for Institutional Development Projects: Canadian College personnel, College students, Developing Country Partner (DCP) personnel, DCP students and Canadian community members. These groups refer to those who have helped in project implementation and to those who have benefited from project activities. For example, many College personnel characterize their experience as service providers in a development project as professional development. This can also apply to Canadian students and developing country personnel. The RBM approach adopted here, with

clearly identified target groups, will permit the evaluation process to generate quantitative data that will reflect the mutuality of benefits inherent in the Canadian College Partnership Program.

From a monitoring perspective, it is important to know the number of individuals, as either beneficiaries, service providers or both, from each target group involved in the project. Using this information, project delivery partners will be better placed to determine the degree of project reach in relation to the expected results. Some target groups will have a greater influence on the achievement of results as illustrated in Tables B, C, D and E. The ACCC Secretariat will compile the quantitative information at a program level to help determine the impact the program is having vis-à-vis these target groups.

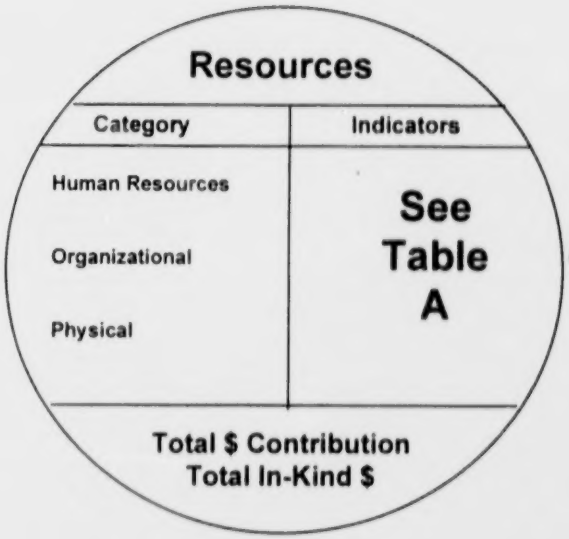
5.3 Results

All Institutional Development Projects are expected to generate Category I - Individual Results for some or all target groups. Individual learning should be assessed in terms of the acquisition of awareness, knowledge or skills in specific content areas. Table B provides a "menu" of result descriptors which should be used to describe the occurrence of individual learning results. For example, College personnel may acquire knowledge of developing country education systems and skills in joint project management, while DCP personnel may acquire an awareness of Canadian education systems and skills in student-centred teaching methods. It is not intended that all of the proposed results will apply in every case. Colleges are encouraged to select those individual results appropriate to the goal and purpose of their particular project.

Level II and Level III Projects are expected to generate the second category of Institutional Results. Table C provides a "menu" of results which can be used to describe the occurrence of institutional changes or reform. For example, because of the individual learning acquired by College personnel, Canadian Colleges may make changes in administrative systems to accommodate international project management. Or, because of the individual learning acquired by DCP personnel, developing country partners may institutionalize new teaching/learning strategies and improve the quality of learning resources. Remember, it is not intended that all of the proposed results will apply in every case. Colleges are encouraged to select those institutional results most appropriate to the goal and purpose of their project.

Level III Projects are expected to generate the third category of Client (end-user) Results which can be attributed to the achievement of institutional changes and reforms generated by the project. Table D again provides a "menu" of results which can be used to describe the sustainable benefits accrued to targeted client groups. For example, because of improvements in teaching/learning strategies and quality of learning resources, developing country students benefit from an overall improved quality of education. Or, because of progressive reforms in the creation of business links with sectoral partners, developing country students benefit from greater relevance of knowledge and skills to the employment market. Again, it is not intended that all of the proposed results will apply in every case. Colleges are encouraged to select those client (student) results most appropriate to the goal and purpose of their project.

The expected results for the CCPP Institutional Development Component, as stated above, represent the minimum standards for each of the three project levels. They are considered to be realistic and achievable within the stated timeframe and financial limitations characteristic of each project level. It is a recognized fact that projects will generate other unexpected results, both positive and negative. Some Level I Projects will achieve institutional results and some Level II Projects will generate important benefits for developing country students and other client groups. What has been established here, is that there is a minimum standard for all projects.



REACH	INDIVIDUAL RESULTS Descriptors	INSTITUTIONAL RESULTS Descriptors	CLIENT RESULTS Descriptors	SOCIO-ECONOMIC RESULTS Descriptors
College Personnel	See Table B	See Table C	See Table D	See Table E
College Students				
DCP Personnel				
DCP Students				
Canadian Community				

Figure 12: Resources - Reach - Results

TABLE A: Project Resources

RESOURCE CATEGORY	PROJECT RESOURCES	
	Resource Indicators	**Means of Verification**
Human Resources: Human resources refers to College and DCP personnel expertise and student support in the areas of project planning, design, training and technical assistance implementation, financial control and evaluation.	Content expertise, international or relevant experience, interpersonal skills, commitment to project purpose, team player, hands-on ability, flexibility and acceptance of different cultural values.	At the discretion of the College and DCP.
Organizational Resources: Organizational resources refer to the College and DCP institutional support and contributions to the project.	Existence of an institutional mandate for international education; use of organizational structure for effective project management; use of intellectual property in the form of programs and systems, curriculum and learning resources; demonstrated constituency support; use of strategic partnerships in project implementation; and accreditation from government ministries and professional associations.	At the discretion of the College and DCP.
Physical Resources: Physical resources refer to the use of College and/or DCP institutional facilities for the project.	Use of plant facilities, lab equipment, computer software / hardware, communications systems, and other technologies.	At the discretion of the College and DCP.
Total Resources: Total resources refer to value of all of the above resources either purchased with the CCPP Financial Contribution or provided by the College and DCP as in-kind contributions to the project.	The Canadian dollar value of human, organizational and physical resources invested in the project.	Auditable financial statements that reflect the Cdn dollar value of the resources invested in the project. Such statements will differentiate between reimbursable expenses and in-kind contributions.

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TABLE B: Category I - Individual Results

	INDIVIDUAL LEARNING
Reach	Result Descriptors
# of College Personnel Involved	Canadian personnel with increased awareness, knowledge or skills: • of international development • of developing country geo-politics and values • of developing country education systems • of College role in international development • of environmental sustainability • in joint project management • in cross-cultural communications • in conducting a gender analysis • as service providers in a development project
# of College Students Involved	Canadian students with increased awareness, knowledge or skills: • of international development • of developing country geo-politics and values • of developing country education systems • of College role in international development • of environmental sustainability • in joint project management • in cross-cultural communications • in conducting a gender analysis • as service providers in a development project
# of DCP Personnel Involved	Developing country personnel with increased awareness, knowledge or skills: • of Canadian values and geo-politics • of Canadian education systems • of alternate education models • of environmental sustainability • in joint project management • in the management of human, financial and physical resources • in conducting a gender analysis • in cross-cultural communications • in a Canadian education discipline (specify) • in teacher training
# of DCP Students Involved	Developing country students with increased awareness, knowledge or skills: • of Canadian values and geo-politics • of Canadian education systems • of environmental sustainability • of cultural differences • of student rights • of gender roles
# of Canadian Community members involved	Canadian public with increased awareness, knowledge or skills: • of College's role in international education • of developing country geo-politics and values • of developing country market potential • of the value of Canadian ODA

TABLE C: Category II - Institutional Results

REACH	INSTITUTIONAL CHANGES/REFORM
	Result Descriptors
# of Canadian Colleges Involved	Progressive Canadian institutional changes or reforms: • in policies related to international education • in organizational structure to include permanent international education personnel • in administrative systems to accommodate international project management • in programs to internationalise curriculum • in number and type of strategic Canadian partnerships • in the mandate of the Student Association/Council to include an international education dimension • in marketing and graduate student placement services • in the international accreditation of College programs • in the delivery of student services for international opportunities
# of Developing Country Partners Involved	Progressive developing country institutional changes or reforms: • in the creation of business links with sectoral partners • in development, delivery and evaluation of programs • in organizational structure • in professional development policies and practices for faculty/staff • in management systems • in the capacity to undertake applied research • in teaching/learning strategies • in the capacity to participate in national/sectoral policy dialogue • in the quality of learning resources • in the quality of student services • in establishing partnerships with community and business groups • in institutional planning capability • in the strategic management of institutional resources • in environmental policy and/or practices • in revenue generating capacity • in the capacity to adjust to changing policy environment/legislation • in the capacity to facilitate the creation/monitoring of micro-enterprises • in establishing and maintaining community/industry/sectoral Advisory Committees for institutional program development

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TABLE D: Category III - Client Results

REACH	SUSTAINABLE BENEFITS TO CLIENT GROUPS
	Result Descriptors
# of College Students Involved	Canadian clients or students benefit from: • increased international employment opportunities • improved international citizenship • increased access to learning resources of international nature
# of DCP Students Involved	Developing country clients or students benefit from: • improved quality of education • increased access to safer learning environments • more socially acceptable attitudes and behaviours • more relevant knowledge and skills to the employment market • increased access to further educational opportunities • increased access to technologies or processes offering new/wider economic opportunities • increased career choices • increased employability or productivity • increased employment income or personal earnings • increased success in entrepreneurial endeavours

TABLE E: Category IV - Socio-Economic Results

REACH	SOCIO-ECONOMIC IMPACT
	Result Descriptors
# of DCP Involved	Socio-economic impacts: • education and training systems more responsive to policy and legislative environment • improved strategic management of education and training systems (specify sector) • more efficient utilization of educational resources • education and training systems better articulated nationally and/or regionally • education and training systems more responsive to national and/or regional employment markets • increased sectoral (specify) productivity nationally and/or regionally

6.0 Conclusion

The Results-Based Management Study is the first initiative undertaken by ACCC in the area of research-based program support services. The primary purpose of the study was to ***identify achievable results congruent with the stated CCPP goal and objectives within the stated timeframe***. Its secondary purpose was ***to recommend an appropriate program evaluation system***. The research study team conducted a literature review and implemented a research methodology which relied on the participation of a representative group of experienced international program managers. The concepts and results presented in this report reflect the collective thinking of those involved[2].

The results-based management approach presented here attempts to address four areas of concern raised in the 1993 Auditor General's report on Canadian development assistance:

1) it focuses attention on the achievement of developmental results;

2) it attempts to establish a management framework that should facilitate organizational learning by all key stakeholders;

3) it should enhance ACCC's capacity to demonstrate accountability for the use of CCPP funds;

and perhaps most importantly,

4) it should generate enduring benefits for developing country institutions and their Canadian College partners.

In terms of presenting a systems approach to results-based program management and evaluation, the information management system was designed to provide relevant and timely information to managers when monitoring and evaluating program performance based on the program cycle. Three inter-related variables - resources, reach, and results - provide the structure for this information management system. Information collected on each of these variables, through the use of appropriate indicators, will be compiled and analyzed at opportune junctures in the program cycle. Program management decisions will be better informed through the continuous monitoring and evaluation of program performance.

Embedded within this program management system is a results-based project management framework. Based on the principle of a performance chain, the framework defines the cause - effect links between inputs, activities and four generic categories of developmental results: individual, institutional, client/student and socio-economic impact. The first two results categories generally correspond to the output level, the third to the purpose level and the fourth to the goal level of the traditional logical framework analysis. For each result category, a "menu" of result descriptors was developed to assist in the selection of appropriate results at each project level. Information collected on the achievement of these results in relation to targeted client groups and resource disbursements would be collected on a continuous basis by project managers. A small number of appropriate indicators would be selected from a master list and used by project managers to facilitate the evaluation process. This project management framework should serve project managers when designing, managing and monitoring their projects.

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[2] The results of this study were conceived within the organizational framework of the Canadian College Partnership Program and therefore appeal to other organizations or usefulness to other programs and projects may be limited.

What distinguishes results-based management from other management models such as Project Planning and Budget System (PPBS), Project Management by Activity (PMBA), Management by Objectives (MBO), is its iterative approach to managing for results. However, the standardization of result categories and descriptors is also necessary to facilitate the aggregation of information at the program level in order to monitor and evaluate progress made toward the achievement of results in relation to established program objectives and resources. Information generated from this system after completion of the first cycle of implementation will provide the initial baseline performance measures against which subsequent cycles would be compared. If performance measures were established *a priori*, as targets, then we would be back to the "blue-print" models of the past. To avoid this, it is important that the initial baseline performance measures be determined after one operational cycle of the program. At that time, program managers and project delivery partners can establish new performance targets, modify and adjust programming strategies, and monitor the results for each succeeding cycle. This management flexibility and standardization of results will facilitate the organizational learning that is essential if projects are to achieve the best results possible.

ANNEX 1 : CCPP Institutional Development Component

The Institutional Development component comprises the core of ACCC's international cooperation activity and will be implemented in advance of the other two program components. It is organized into three project levels which reflect a development continuum of increasing sophistication, while maximizing the opportunity of access. This three level architecture is specifically designed to more adequately respond to the diverse needs of the Canadian Colleges and their developing country partners.

The present Request for Proposals (RFP) is designed with the intention of soliciting proposals for Institutional Development Level I and Level II projects. The Terms of Reference for Institutional Development Level III proposals will be forwarded to Colleges in September 1995 once they have been finalized. Additional information regarding activities related to the other CCPP components is also available upon request.[3] The following is a brief description of the three levels of project activity under the Institutional Development Component.

Level I Projects

Institutional Development Level I Projects will be oriented toward Colleges with emerging international experience. Level I Project activities are to be designed to benefit both the Canadian and the developing country partner institutions. They will focus on community awareness, student participation and/or other technical assistance activities which derive from or complement ongoing ACCC projects. However, Level I Projects will not have any provision for the purchase of capital items. Ongoing ACCC projects are defined as CCPP Level II or III and bilateral projects implemented in those admissible developing countries.

The key characteristic of Level I Projects are their link to ongoing ACCC projects and a built-in mentor/learner partnership. This partnership, between the proposing learner College and the lead mentor College of the ongoing project, ensures that Level I Project activities optimize the benefits to the developing country partner as well as the learning experience for the proposing College. All Level I Project activities will have clearly defined results which are achievable within a timeframe of one to two years.

Level II Projects

Institutional Development Level II Projects will be oriented to Colleges with relevant experience and management capability. Level II Projects are to be designed to enhance the capacity of a developing country partner institutions in sectors or areas of identified strategic importance. They are expected to demonstrate maturity by taking into consideration the economic, political, social, environmental and cultural factors which impinge on the achievement of sustainable results. Consequently, a greater emphasis will be placed on the strategic relevance of projects with regard to ACCC sub-regional planning frameworks.

Two new project design components have been added to Level II Projects. Colleges will be encouraged to undertake development education activities which will serve to disseminate information about the project to their wider Canadian communities and to translate lessons learned into strategies for internationalizing the College. They will also be encouraged to involve Canadian students in project activities which enhance cross-cultural understanding and communication with developing country institution partners. All Level II Projects will have clearly defined sustainable results which are achievable within a timeframe of three to four years.

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[3] For a complete description, a copy of the CCPP Proposal Submission can be requested from the ACCC Secretariat.

Level III Projects

Institutional Development Projects Level III will comprise larger project initiatives which are sectoral or thematic in focus. They will extend the strategic approach by facilitating dialogue with responsible government ministries on policy formulation, planning and management of technical educational and vocational training systems, regional integration, and the rationalization of institutional resources. Dialogue at this level will be a necessary project component in order to enhance the sustainability of institutional development efforts.

Projects in this category will be of interest to Colleges experienced in international development. Projects may involve several developing country institutions in a region and focus on one clearly identified sector or theme in accordance with the strategic orientation of ACCC sub-regional planning frameworks.

Level III projects will typically be of three to four years duration, based on previous College experience in the targeted countries, and will include all the characteristics of the Level II Projects while encompassing a broader range of policy, institutional strengthening, and regional integration issues. Level III projects will also serve to complement and consolidate results achieved under several Level II projects, to enhance the critical mass of program activity in the selected theme and region.

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Notes:

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